



# Cleanup and Abatement Account (CAA) Program

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## Administrative Procedures Manual (APM) Update

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## CAA: Definition

- Created by Water Code Sections 13440-13443
  - to provide public agencies with funds for the cleanup or abatement of a condition of pollution when there are no viable responsible parties available to undertake the work;
  - is supported by court judgments and administrative civil liabilities assessed by the State Water Resources Control Board (State Water Board) and the Regional Water Quality Control Boards (Regional Boards)
  - Only state and public agencies with authority to cleanup or abate a waste are eligible to receive funding.



# CAA: Definition

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- Provided for the emergency cleanup or abatement of a condition of pollution when no responsible party(ies) is available



## CAA: Use of Account

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- Performing and/or contracting for services:
  - Cleanup a waste, abate the effects of a waste, or remedial actions
- Remedying a significant unforeseen water pollution problem;
- Paying admin, legal, technical, & oversight costs for cleanup;
- Implementing SEP



# CAA: Management of Account

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- Responsibility of the State Water Board's Division of Financial Assistance



## **CAA: Division's Responsibilities**

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- Process requests & makes recommendations to the Deputy Director or Executive Director (if over \$100,000)
- Provide administrative assistance;
- Review & Update CAA procedures;
- Receive & review reports;
- Provide support for project tracking;
- Support management;
- Make recommendations for policies & procedures; and
- Maintain project files for audits



## **CAA: Region's Responsibilities**

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- Determine needs, costs, & alternate source of funds;
- Used in accordance with WC;
- Track project;
- Ensure funds are not over-expended;
- Request for Payment & all appropriate reporting & invoicing;
- Notify Division of SEPs with title & description with annual status; and
- Maintain project files for audits.



# CAA: Region's Responsibilities

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- When requests come from public agencies:
  - Consider request's priority & review worthiness
  - Provide recommendations to Division
  - Used in accordance with WC





## **CAA: Agency's Responsibilities**

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- Contact Region or Division for project evaluation;
- Provide application & supporting documentation to Division;
- Prepare agency resolution to enter into agreement with Region or Division;
- Participate in preparation of draft GA;
- Follow terms & conditions of GA;
- Stay in contact with GM;



# CAA:

## Agency's Responsibilities (continued)

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- Provide quick resolution(s) to issues, questions, & changes to GA;
- Maintain project tracking;
- Ensure funds not over-expended; and
- Submit invoices, backup documentation, & appropriate reports to GM.



## CAA: Requests for Funding

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- Should 1<sup>st</sup> contact the Assistant Deputy Director to discuss project PRIOR to applying for funds;
- MUST submit the CAA Funding Request Form and supporting documentation using FFAST;



# CAA:

## Requests for Funding

(continued)

- Requests up to \$100,000:
  - Reviewed by technical staff, Assistant Deputy Director, & OCC;
  - Deputy Director will review application & approve or deny; and
  - Applicant will be notified via email.



# CAA:

## Requests for Funding

(continued)

- Requests over \$100,000:
  - Reviewed by technical staff, Assistant Deputy Director, & OCC;
  - Deputy Director or Assistant Deputy Director will make recommendations to Executive Director; and
  - Executive Director may determine to take project to Board for consideration or reject project.

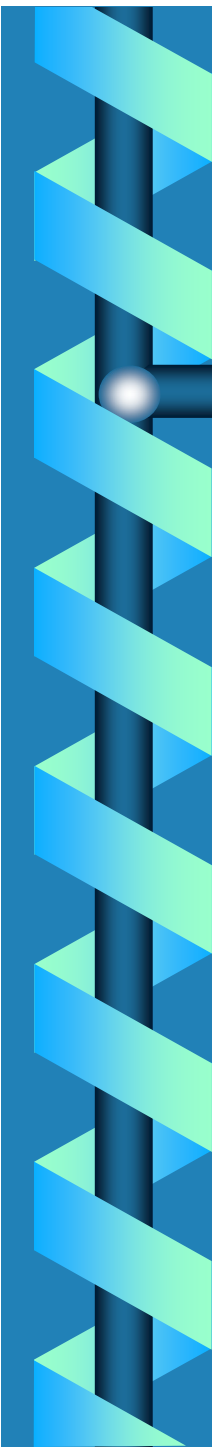


# CAA:

## Requests for Funding

(continued)

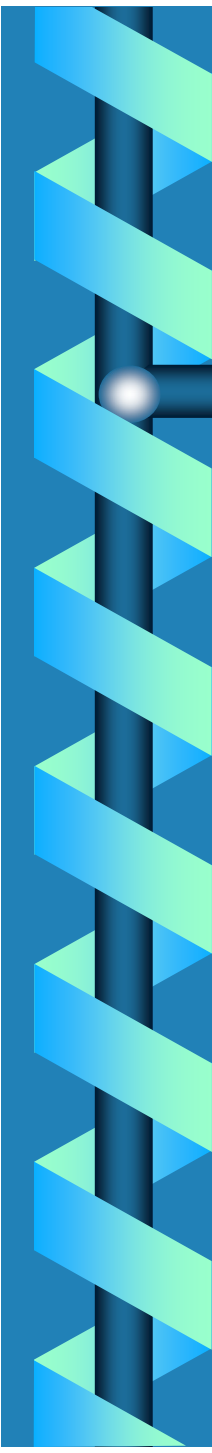
- Emergency Requests:
  - Regions or Agencies may request verbally or via email for amounts up to \$100,000;
  - Should be directed to Division's Deputy Director; and
  - Within 1-week of approval, applicant MUST submit a CAA Funding Request Form in FAAST.



## CAA: Invoicing

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- Project managed by Regions & Subdivisions:
  - Invoice & supporting documentation sent to GM;
  - GM will review & complete Request for Payment form; and
  - GM will submit package to CAA Analyst.



## CAA: Invoicing

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- Project managed by Division:
  - Invoice & supporting documentation sent to GM;
  - GM will review & approve or send dispute;
  - Once approved, GM will submit to CAA Analyst for processing.





## CAA:

# Grants/Contracts/Exemption

- Most used is GA
  - The Division will usually enter into GA's with local agencies
  - Regions and Subdivisions can enter into GA or Contract
- Contracts required where subcontracting work is anticipated or when State receives a direct good or service in return
- Exemptions apply when a Region has issued a CAO or when a RP is not identified.



**CAA:**

## **De-Obligations & Deadlines**

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- Funds not expended by end date will be disencumbered by Division if extension request has not been submitted
- Agency receiving funds has 90-days after end date to submit final invoice
- Upon approval by either Deputy Director or Board, agency **MUST** submit a final draft agreement or contract within 6-months from approval notification.



# CAA: Project Reporting

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- Progress Report
  - Submitted to Division with invoice
  - Summarizes progress, efforts to recover costs, & expenditure projections
- Final Report
  - Summarizes project's accomplishments, recovered CAA funds, & CAA money spent



## CAA: Fund Balance

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- Will not approve projects if approval will over-commit the CAA
- Technical staff determines whether the project will over-commit account



## CAA: Contact Information

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- All questions and/or comments concerning the CAA or APM should be directed to:

[caa@waterboards.ca.gov](mailto:caa@waterboards.ca.gov)

(916) 341-5703



# CAA: General Information

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- The APM, forms and other information is available at:

**[http://www.waterboards.ca.gov/water\\_issues/  
programs/grants\\_loans/caa/](http://www.waterboards.ca.gov/water_issues/programs/grants_loans/caa/)**

# Questions

